

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application: Bahrs, et al.

Serial No.: 09/430,814

Filed: October 29, 1999

For: **Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers**



Group Art Unit: 2739

Examiner: Not Assigned

Attorney Docket No.: AUS990339US5

**Certificate of Mailing Under 37 C.F.R. § 1.8(a)**

I hereby certify this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on January 5, 2000.

By:

  
Stacey L. Bachmann

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts dated December 15, 1999, it is believed that the Notice was generated in error. Enclosed is a copy of a USPTO stamped postcard indicating receipt of the complete application package and the original Oath and Declaration, with signatures of all inventors, as filed on October 29, 1999. Also enclosed is a copy of the Express Mail receipt as well as a copy of the original Transmittal indicating the incorporation of the Oath and Declaration in the application package.

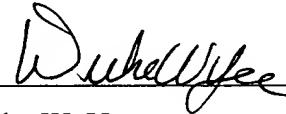
No additional fees are believed to be necessary. However, in the event that any fees are required for the prosecution of this application, please charge any necessary fees to Deposit Account No. 50-0392. No extension of time is believed to be necessary. If,

however, an extension of time is needed, the extension is requested. Please charge the fee for this extension to Deposit Account No. 50-0392.

The examiner is invited to call the undersigned at the below-listed telephone number if in the opinion of the examiner such a telephone conference would expedite or aid the prosecution and examination of this application.

DATE: 1/15/00

Respectfully submitted,



Duke W. Yee  
Reg. No. 34,285  
Carstens, Yee & Cahoon, LLP  
P.O. Box 802334  
Dallas, TX 75380  
(972) 367-2001  
Attorney for Applicant



Please type a plus sign (+) inside this box →

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **AUS990339USS**

First Inventor or Application Identifier **Peter C. Bahrs, et al.**

Title **See 1 in Addendum**

Express Mail Label No. **EL385737011S**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Specification [Total Pages **239**]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored Research
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3.  Drawing(s) (35 U.S.C. 113) [Total Sheets **136**]
4. Oath or Declaration [Total Pages **9**]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
    - i.  DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5.  Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy
  - b.  Paper Copy (identical to computer copy)
  - c.  Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- Assignment Papers (cover sheet & document(s))
- 37 C.F.R. § 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney
- English Translation Document (if applicable)
- Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations
- Preliminary Amendment
- Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- Small Entity Statement(s)  Statement filed in prior application  
(PTO/SB/09-12)  Status still proper and desired
- Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- Other: .....  
.....  
.....

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation  Divisional  Continuation-in-part (CIP) of prior application No: **09/366,404**

Prior application information: Examiner **Unknown** Group / Art Unit: **2731**

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			or <input checked="" type="checkbox"/> Correspondence address below	
Name	Duke W. Yee Carstens, Yee & Cahoon, LLP				
Address	PO Box 802334				
City	Dallas	State	TX	Zip Code	75380
Country	US	Telephone	(972) 367-2001	Fax	(972) 367-2002

Name (Print/Type)	Duke W. Yee	Registration No. (Attorney/Agent)	34,285
Signature			Date <b>10/29/99</b>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

## Addendum

1. Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers



EL356873170US



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PO ZIP Code 75250	Day of Delivery <input type="checkbox"/> Next <input type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>
Date In 10/29/97	Postage <input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM \$ 4.00	
Mo. Day Year 10 29 97	Military <input type="checkbox"/> 2nd Day <input type="checkbox"/> 3rd Day	
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Total Postage & Fees \$ 4.00		

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CARSTENS YEE & CAHOON LLP  
PO BOX 802334  
DALLAS



TO: (PLEASE PRINT) PHONE ( )

Assistant Commissioner Patent  
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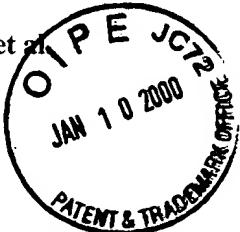
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Bahrs, et al.

Serial No.: 09/430,814

Filed: October 29, 1999

For: Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers



§ Group Art Unit: 2739

§ Examiner: Not Assigned

§ Attorney Docket No.: AUS990339USS

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By: Stacey Bachmann  
Stacey Bachmann

TRANSMITTAL DOCUMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

ENCLOSED HEREWITH:

1. Response to Notice to File Missing Parts (2 pages);
2. Copy of US PTO stamped postcard (1 page);
3. Signed Declaration and Power of Attorney (9 pages);
4. Notice to File Missing Parts (1 page);
5. Copy of Express Mail certificate (1 page);
6. Copy of original Transmittal (2 pages); and
7. Our return postcard.

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

No extension of time is believed to be necessary. If, however, an extension of time is required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

Respectfully submitted,

Duke W. Yee

Duke W. Yee  
Registration No. 34,285  
CARSTENS YEE & CAHOON, LLP  
P.O. Box 802334  
Dallas, Texas 75380  
(972) 367-2001  
ATTORNEY FOR APPLICANT



Received in the Patent and Trademark Office

INVENTOR: Bahrs et al.

TITLE: Method And Apparatus In A Data Processing System  
For The Issuance And Delivery Of Lightweight Requests To  
Concurrent And Multiple Service Providers

Enclosed:

1. PTO Form PTO/SB/05 (2 pages);
2. Transmittal ~~2 pages~~
3. Deletion Of Persons Who Are Not Inventors (2 pages);
4. Preliminary amendment (3 pages);
5. Recordation Form Cover Sheet (1 page)
6. Specification (239 pages);
7. Drawings (136 pages);
8. Oath and Declaration copies (9 pages);
9. Assignment and recordation copies (7 pages);
10. Our return postcard

Client: IBM Corporation

Serial No. Unknown

Docket No. AUS990339US5 Mailed: October 28, 1999

/dmn

Received in the Patent and Trademark Office  
INVENTOR: Bahrs et al.

TITLE: Method And Apparatus In A Data Processing System  
For The Issuance And Delivery Of Lightweight Requests To  
Concurrent And Multiple Service Providers

Enclosed:

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8. Oath and Declaration copies (9 pages);
9. Assignment and recordation copies (7 pages);
10. Our return postcard

jc490 U.S. PTO  
09/430814



10/29/99

Client: IBM Corporation

Serial No. Unknown

Docket No. AUS990339US5 Mailed: October 28, 1999

/dmn

2830  
REGIST  
OCT 2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Bahrs, et al.**

§ Group Art Unit: 2739

Serial No.: **09/430,814**

§ Examiner: **Not Assigned**

Filed: **October 29, 1999**

§ Attorney Docket No.: **AUS990339US5**

For: **Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers**



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January 5, 2000

By:

Stacy Bachmann  
Stacy Bachmann

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Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

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1. Request for Corrected Filing Receipt (2 pages);
2. Copy of Filing Receipt (1 page); and
3. Our return postcard

No fees are believed to be necessary. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

No extension of time is believed to be necessary. If, however, an extension of time is required, I authorize the Commissioner to charge these fees which may be required to Deposit Account No. 50-0392.

Respectfully submitted,

  
Duke W. Yee  
Registration No. 34,285  
CARSTENS YEE & CAHOON, LLP  
P.O. Box 802334  
Dallas, Texas 75380  
(972) 367-2001  
ATTORNEY FOR APPLICANT

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Practitioner's Docket No. AUS990339USS PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Bahrs et al.**

Serial No.: **09/430,814** Group No.: **2739**

Filed: **October 29, 1999** Examiner: **Unknown**

For: **Method and Apparatus in a Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers**

**Assistant Commissioner for Patents**  
**Washington, D.C. 20231**



**REQUEST FOR CORRECTED FILING RECEIPT**

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data, which is:  
 incorrectly entered  
  
*and/or*  
 omitted.

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**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)**

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20231.

**FACSIMILE**

transmitted by facsimile to the Patent and  
Trademark Office.

Signature

*Stacey Bachmann*

(type or print name of person certifying)

Date: 1-5-00

*Error in*

1. [ ] Applicant's name
2. [ ] Applicant's address
3. [x] Title



4. [ ] Filing Date
5. [ ] Serial Number
6. [ ] Foreign/PCT Application Re:
7. [x] Other

*Correct data*

- 1.
- 2.
3. Method And Apparatus In A Data Processing System For The Issuance And Delivery Of Lightweight Requests To Concurrent And Multiple Service Providers
- 4.
- 5.
- 6.
7. Continuing data as claimed by applicant:  
This application is a divisional of 09/366,404 filed 08/03/99

3. The correction(s) is/are not due to any error by applicant and no fee is due.

No fees are believed to be necessary at this time. If, however, any fees are required, I authorize the Commissioner to charge these fees which may be required to IBM Corporation Deposit Account No. 09-0447. If any over payment is due, please credit any over payment to IBM Corporation Account No. 09-0447.

Duke W. Yee  
Duke W. Yee  
Reg. No. 34,285  
Carstens, Yee & Cahoon, LLP  
P.O. Box 802334  
Dallas, TX 75380  
(972) 367-2001  
ATTORNEY FOR APPLICANT

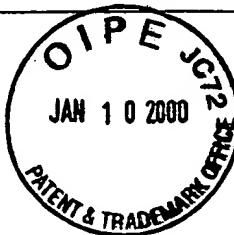
## FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/430,814	10/29/99	2739	\$856.00	AUS990339US5	0	21	4

DUKE W YEE CARSTENS  
YEE & CAHOON LLP  
POST OFFICE BOX 802334  
DALLAS TX 75380



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the date presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts of Application" ("Missing Parts Notice") in this application, please submit any corrections to this Filing Receipt with your reply to the "Missing Parts Notice." When the PTO processes the reply to the "Missing Parts Notice," the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s) PETER C BAHRS, AUSTIN, TX; RAPHAEL POOLE CHANCEY, AUSTIN, TX; BARRY ALAN FEIGENBAUM, AUSTIN, TX; MANISH MAHESH MODH, ROUND ROCK, TX; SEAN MICHAEL SUNDBERG, CEDAR PARK, TX; JOHN ALLEN HUBERT WOOLFREY, ONTARIO, CANADA; BARRY ALAN FEIGENBAUM, AUSTIN, TX.

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 12/14/99

TITLE

SEE 1 IN ADDENDUM

PRELIMINARY CLASS: 370

Method and Apparatus in a Data Processing System For The Issuance ~~of~~ and Delivery of Lightweight Requests To Concurrent and Multiple Service Providers.

CONTINUING DATA As CLAIMED By APPLICANT

This Application is a divisional of  
09/366,404 Filed August 3, 1999.

DATA ENTRY BY: BLIZZARD, SHARON .L TEAM: 01 DATE: 12/14/99



(See reverse for new important information)